17302 U.S. PTO 10/797819

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE PATENT TRANSMITTAL FORM

Applicant:

Richard Anderson

Docket No.: AND001USU

Serial No.:

TBA

Filed: March 10, 2004

P B

Secure Necktie

Mail Stop Patent Application Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Sir:

Transmitted herewith is:

- 1. Patent Application including Specification (8 pgs), Claims (nos. 1-7) and Abstract
- 2. Informal Drawings (Figs. 1-7)
- 3. Declaration and Power of Attorney
- 4. Small Entity Statement
- 5. Check in the amount of \$ 385.00
- 6. Postcard
- 7. Duplicate copy of this letter
- 8. New Patent Application Transmittal

Please charge any additional fees or credit any such fees, if necessary to Deposit Account No. 07-2162 in the name of Grimes & Battersby. A duplicate copy of this sheet is attached.

Respectfully submitted,

Date: March 10, 2004

James G. Coplit Reg. No. 40,571

Grimes & Battersby, LLP 488 Main Avenue, Third Floor Norwalk, Connecticut 06851

(203) 849-8300

CERTIFICATE OF EXPRESS MAILING

I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE AS EXPRESS MAIL, POST OFFICE TO ADDRESSEE, CERTIFICATE NO. <u>EV123842948US</u> IN AN ENVELOPE ADDRESSED TO: COMMISSIONER OF PATENTS, P.O. BOX 1450, ALEXANDRIA, VA 22313-1450, ON March 10, 2004

JAMES G. COPLIT
NAME OF REGISTERED
REPRESENTATIVE

SIGNATURE

3/10/04 DATE



PATENT

Docket No.	AND001USU	
		_

Mail Stop Patent Application Commissioner for Patents P.O. Box 1450 Arlington, VA 22313-1450

NEW APPLICATION TRANSMITTAL
Transmitted herewith for filing is the patent application of Inventor(s): Richard Anderson
WARNING. Patent must be applied for in the name(s) of all of the actual inventor(s). 37 CFR 1.41(a) and 1.53(b). For (title): Secure Necktie
1. Type of Application
This new application is for a(n) (check one applicable item below):
<u></u> Original
☐ Design
☐ Plant
WARNING. Do not use this transmittal for a completion in the U.S. of an International Application under 35 U.S. C 371 (c)(4) unless the International Application is being filed as a divisional, continuation or continuation-in-part application.
NOTE: If one of the following 3 items apply then complete and attach ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF A PRIOR U.S APPLICATION CLAIMED and a NOTIFICATION IN PARENT APPLICATION OF THE FILING OF THIS CONTINUATION APPLICATION
☐ Divisional
Continuation
Non-Provisional App.
CERTIFICATION UNDER 37 CFR 1.10 I hereby certify that this New Application Transmittal and the documents referred to as enclosed therein are being

deposited with the United States Postal Service on this date <u>March 10, 2004</u> in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number <u>EV123842948US</u> addressed to the: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

James G. Coplit
(Type or print name of person mailing paper)

(Signature of person mailing paper)

NOTE: Each paper or fee referred to as enclosed herein has the number of the "Express Mail" mailing label placed thereon prior to mailing. 37 CFR 1. 10(b).

2. I	3en	efit of Prior U.S. Application(s) (35 USC 120)
NO	TE:	If the new application being transmitted is a divisional continuation or a continuation-in-part of a parent case, or where the parent case is an International Application which designated the U.S., then check the following item and complete and attach ADDED PAGES FOR NEWAPPLICATION TRANSM17TAL WHERE BENEFIT OF PRIOR U S APPLICATION(S) CLAIMED.
	v	The new application being transmitted claims the benefit of prior U.S. application(s) and enclosed are ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED.
		ers Enclosed Which Are Required For Filing Date Under 37 CFR 1.53(b) (Regular) or 1.153 (Design) Application
_	7_	Pages of specification
	3	Pages of claims (Nos. 1-7)
_	1	Pages of Abstract
	3	Sheets of drawing (FIGs. 1-7)
		☐ formal
и	'ARN	DO NOT submit original drawings. A high quality copy of the drawings should be supplied when filing a patent application. The drawings that are submitted to the Office must be on strong, white, smooth, and non-shiny paper and meet the standards according to § 1.84. If corrections to the drawings are necessary, they should be made to the original drawing and a high-quality copy of the corrected original drawing then submitted to the Office. Only one copy is required or desired. Comments on proposed new 37 CFR 1.84. Notice of March 9, 1988 (1990 O.G. 57-62).
N	OTE:	"Identifying indicia such as the serial number, group and unit, title of the Invention, attorney's docket number, inventor's name, number of sheets, etc., not to exceed 2 3/4 inches (7.0 cm.) in width may be placed in a centered location between the side edges within three fourths inch (19.1 mm.) of the top edge. Either this marking technique on the front of the drawing or the placement, although not preferred, of this information and the title of the invention on the back of the drawings is acceptable." Proposed 37 CFR 1.84(I). Notice of March 9, 1988 (1090 O.G. 57-62).
4.	Add	itional papers enclosed
	Γ	Preliminary Amendment
		Information Disclosure Statement (37 CFR 1.98)
	ſ	Form PTO-1449
	Γ	Citations
	Γ.	Declaration of Biological Deposit
	C	Submission of "Sequence Listing," computer readable copy and/or amendment pertaining thereto for biotechnology invention containing nucleotide and/or amino acid sequence.
		Authorization of Attorney(s) to Accept and Follow Instructions from Representative

☐ Special Comments

☐ Other

5.	Decla	ratio	on or oath
	V	End	closed
		exe	ecuted by (check all applicable boxes)
		V	inventor(s).
			legal representative of inventor(s). 37 CFR 1.42 or 1.43
			joint inventor or person showing a proprietary interest on behalf of inventor who refused to sign or cannot be reached.
			this is the petition required by 37 CFR 1.47 and the statement required by 37 CFR 1.47 is also attached. See item 13 below for fee.
		No	t Enclosed.
	WARNII	a Ir c	Where the filing is a completion in the U.S. of an International Application but where a declaration is no vailable or where the completion of the U.S. application contains subject matter in addition to the itemational Application the application may be treated as a continuation or continuation-in-part, as the ase may be, utilizing ADDED PAGE FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION CLAIMED.
		口	Application is made by a person authorized under 37 CFR 1.41(c) on behalf of all the above named inventor(s). (The declaration or oath, along with the surcharge required by 32 CFR 1. 16(e) can be filed subsequently).
	NOTE:	It is in	nportant that all the correct inventor(s) are named for filing under 37 CFR 1. 4 I(c) and 1. 53(b).
			Showing that the filing is authorized. (Not required unless called into question. 3: CFR 1. 4 I(d).
6.	Inver	itors	hip Statement
	WARNII	NG: If	the named inventors are each not the inventors of all the claims an explanation, including the ownership of the various claims at the time the last claimed Invention was made, should be submitted.
	The in	vento	orship for all the claims in this application are:
	M	The	e same
			or
		•	not the same. An explanation, including the ownership of the various claims at the time the claimed invention was made,
			is submitted.
			will be submitted.
7.	Lang	uage	
	_	An a _l Engli CFR	oplication including a signed oath or declaration may be filed in a language other than English. A verified is translation of the non-English language application and the processing fee of \$130.00 required by 3 1. 17(k) is required to be filed with the application or within such time as may be set by the Office. 3 1.52(d).
	NOTE:		n-English oath or declaration in the form provided or approved by the PTO need not be translated. 3: 1.69(b).
	[<u>F</u>	Eng	glish
		nor	n-English
		П	the attached translation is a verified translation, 37 CFR 1 52(d)

8. Assignr	nent						
ПΑ	n assignm	ent of th	ne inven	tion to			
	is attach ACCOM attached	IPANYII	separat NG NEV	e C "COVE V PATENT A	R SHEET FO	OR ASSIG	NMENT (DOCUMENT) ORM PTO 1906 is also
<u></u>	Will follo	w.					
						eparate letter	s-one for the application and
one 9. Certified		nment. i	vouce of N	Лау 4, 1990 (111	4 O. G. 77-78).		
	copy(ies) of	f applica	ations)				
(co	untry)		· <u>-</u>	(appln. no	.)		(filed)
(co	untry)			(appln. no	.)		(filed)
(co	untry)			(appln. no	.)		(filed)
from which	priority is c	laimed					
□ is	(are) attacl	ned.					
C w	ill follow.						
	e foreign appl CFR 1,55(a)			basis for the clai	m for priority Mu	ust be referre	d to in the oath or declaration.
apj ent	olication or In itled to priorit	ternationa ly from a	al Applicat prior fore	tion from which t	his application in nen complete it	claims benefi em 18 on the	y relates. If any parent U.S. t under35 U.S.C. 120 is itself ADDED PAGES FOR NEW N(S) CLAIMED.
10. Fee Ca	Iculation (37 CFF	R 1.16)				
A. 🗹	Regular a	pplicati	ion				
Numb	er filed		Nui	CLAIMS AS		Rate	Basic Fee
							37 CFR 1. 16(a) \$770.00
Total Claims (37 CF	R 1.16(c))	7	-20=	0	x	\$ 22.00	- 0 -
Independent Claims (37 CF	R 1.16(b))	2	-3=	0	x	\$ 74.00	- 0 -
Multiple depe (37 CFR 1.16(s), if any				\$230.00	
ΠA	mendment	cancel	ling extr	a claims encl	osed.		
ПΑ	mendment	deletin	g multip	le-dependenc	ies enclosed	i .	
□ F	ee for extra	a claims	s is not b	eing paid at t	his time.		
to		of the tir	ne period				ancelled by amendment, prior Ink Office in any notice of fee

770.00

Filing Fee Calculation

		Total f	ees enclosed		\$	385.00
NOTE:	comp 78, ii	plete the application pundicate that in order to	rsuant to 37 CFR 1.53(doubtain the benefit of a pi	I retaining any application v d) and this, as well as the c ior U.S. application, either be paid within I year from t	hanges t the basic	o 37 CFR 1. 53 and 1. filing fee must be paid
		fee for internation 37 CFR 1.21 (e))	nal-type search repo	ort (\$35.00;	\$	
		processing and re (\$130.00; 37 CFF	etention fee R 1.53(d) and 1.21(1))	\$	
		for processing an a specification in language. (\$130. 1.17(k)	application with a non-English 00; 37 CFR 1.52(d)	and	\$	
	口	petition fee for fili than all the inven- on behalf of the ir inventor refused the be reached. (\$13 1.47 and 1.17(h))	tors or person nventor where to sign or cannot 0.00; 37 CFR		\$	
		recording assignr (\$40.00; 37 CFR			\$	· · · · · · · · · · · · · · · · · · ·
	Y	basic filing fee			\$	385.00
V	En	closed				
			be paid at this time aid subsequently.)	e. (This and the surch	arge re	quired by 37 CFR
	No	t Enclosed				
		ment Being Made	At This Time			
l			ternational-type sea on the merits takes	arch report for this app place.	olication	at the time when
				CFR 1.104(d)) <i>(compl</i>		
NOTE:			eaid will be refunded if a payment of a full fee. 33	verified statement and a i 7 CFR 1.28(a).	refund red	quest are filed within 2
			(50% of A, B or C	,	\$	385.00
<u> </u>	Ve (ar	rified Statement(s) e) attached.	that this is a filing	by a small entity unde	er 37 CF	R 1.9 and 1.27 is
11. Sma	all Eı	ntity Statement(s)				
			Filing Fee Calcula	tion	\$	
C.		Plant application (\$460.00-37 CFR	1.16(g))			
			Filing Fee Calcula	tion	\$	
Ο.		(\$280.00-37 CFR	1.16(f))			
В.		Design application				

14. Wetr	nod (of Payment of Fees					
区	Che	eck in the amount of \$	3	385.00	_		
	Cha this	arge Account No. <u>07</u> transmittal is attache	2162 d.	in the amour	nt of \$		A duplicate of
NOTE:	Fees	should be itemized in such	a mann	er that it is clear	for which purpose th	e fees are paid	. 37 CFR 1.22(b).
15. Auth	noriz	ation to Charge Add	tional	Fees			
WARNIN	VG: I	f no fees are to be paid on	filing the	following items	should not be compl	eted.	
WARNIN		Accurately count <i>claims</i> , es claim charges are authorize		multiple depende	ent <i>claims,</i> to <i>avoid</i> (unexpected hig	h charges, if extra
区		e Commissioner is he per and during the enti					
	V	37 CFR 1. 1 6(a), (f)	or (g) ((filing fees)			
		37 CFR 1. 1 6(b), (c)	and (d	l) (presentatio	n of extra claims	s)	
	must respo	use additional fees for exc only be paid or these clair nse by the PTO in any no to charge additional claim f	ns canc ice of fe	elled by amendr se deficiency (37	nent prior to the exp CFR 1. 16(d)), it m	piration of the thingship by the significant of the best not be best not be the best not best not be the best not best not best not best not be the best not	time period set for ot to authorize the
	Ø	37 CFR 1.16(e) (surd later than the filing da	harge ite of ti	for filing the b	oasic filing fee ar	nd/or declara	ation on a date
	$\overline{\mathbf{v}}$	37CFR1.17(application	on prod	cessing fees)			
WARNIN		Nhile 37 CFR 1. 17(a), (b) should be made only with C.FR. 1. 136(a) is to no a Notice of November 5, 198	the kno vail unle	owledge that "Su ess a request or	bmission of the app	propriate exten	sion fee under 37
		37 CFR 1. 1 8 (issue CFR 1.31 1 (b))	fee at	or before ma	ling of Notice of	Allowance,	pursuant to 37
	Notice	e an authorization to char e of Allowance, the issue fo otice of allowance. 37 CFR	e will b	e automatically of			
	the ap	FR 1.28(b) requires "Notifica oplication prior to paying otification of change of stat tification is required if the c	or at th us must	e time of paying, t be made even i	issue fee" ' Froi f the fee is paid as '	n the wording o	of 37 CFR 1.28(b)
16. Instr	ructi	ons As To Overpayn	ent				
区	cre	dit Account No07-21	<u>62</u> .		· ·		
	refu	und					
Reg. No.	40,5	71			SIGNATURE OF	ATTORNEY	
Tel. No. ((203)	849-8300			James G. Co Type or print n		rney
·					488 Main Ave	enue, Third	Floor

Norwalk, Connecticut 06851

☑ Ir	corp	oration by reference of added pages
		Check the following item if the application in this transmittal claims the benefit of prior U.S. application(s) (including an international application entering the U.S. stage as a continuation, divisional or C-I-P application) and complete and attach the ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED
	V	Plus Added Pages For New Application Transmittal Where Benefit Of Prior U.S. Application(s) Claimed
		Number of pages added4
	二	Plus Added Pages For Papers Referred To In Item 4 Above
		Number of pages added
		Plus "Assignment Cover Letter Accompanying New Application"
		Number of pages added
□s	tatem	ent Where No Further Pages Added
		(If no further pages form a part of this Transmittal then end this Transmittal with this page and check the following item)
		This transmittal ends with this page

ADDED PAGES FOR APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED

NOTE: "In order for an application to claim the benefit of a prior filed copending national application, the prior application must name as an inventor at least one inventor named in the later filed application and disclose the named inventor's invention claimed in at least one claim of the later filed application in the manner provided by the first paragraph of 35 U.S.C. 112." 37 CFR 1.78(a).

NOTE: "In addition the prior application must be (1) complete as set forth in § 1.51, or (2) entitled to a filing date as set forth in § 1.53(b) and include the basic filing fee set forth in § 1. 16, or (3) entitled to a filing date as set forth in § 1.53(b) and have paid therein the processing and retention fee set forth in § 1.21 (/) within the time period set forth in § 1. 53(d). "37 CFR 1. 78(a).

NOTE: "Any application claiming the benefit of a prior filed copending national or international application must contain

17. Relate Back - 35 U.S.C. 120

or be amended to contain in the first sentence of the specification following the title a reference to such prior application identifying it by serial number and filing date or International application number and international filing date and indicating the relationship of the applications." 37 CFR 1. 78(a). See also the Notice of April 28, 1987 (1079 O. G. 32 to 46). Amend the Specification by inserting before the first line the sentence: "This is a continuation continuation-in-part Non-provisional based on copending provisional application(s) serial number 60 / 455,920 filed on March 19, 2003 ☐ International Application _ filed on and which designated the U.S." NOTE: The proper reference to a prior filed PCT application which entered the U.S. national phase is the U.S. serial number and the filing date of the PCT application which designated the US.

NOTE: (1) Where the application being transmitted adds subject matter to the International Application then the filing can be as a continuation-in-part or (2) it is desired to do so for other reasons, e.g. where no declaration is available, no English translation is available or no fee is to be paid on filing then the filing can be as a continuation. In these cases the International Application designating the U.S. is treated as the parent case in the U.S. and is an alternative to the completion of the International Application under 35 U.S.C. 371(c)(4) which must meet the requirements of 37 CFR 1.61(a). This alternative permits the completion of the filing requirements within any term set by the PTO under 37 CFR 1.53(d) to which the extension provisions of 37 CFR 1. 136(a) apply. (Whereas, if the filing is as an international application entering the U.S. stage then the fee, declaration and/or English translation (where necessary) is due within 20 months of the priority date but can be paid within 22 months of the priority date (or is due within 30 months of the priority date but can be submitted within 32 months of the priority date) with the surcharges set forth in 37 CFR 1.492(e), (f) and 37 CFR 1.495(c),- however, the provisions of 37 CFR 1.136 do not apply to this 22 or (32 month) period. 37 CFR 1.61(b).)

NOTE. The deadline for entering the national phase in the U.S. for an international application was clarified in the Notice of April 28, 1987 (1079 0. G. 32 to 46) as follows:

"The Patent and Trademark Office considers the International application to be pending until the 22nd month from the priority date if the United States has been designated and no Demand for International Preliminary Examination has been filed prior to the expiration of the 19th month from the priority date and until the 32nd month from the priority date if a Demand for International Preliminary Examination which elected the United States of America has been filed prior to the expiration of the 19th month from the priority date, provided that a copy of the international application has been communicated to the Patent and Trademark Office within the 20 or 30 month period respectively. If a copy of the international application has not been communicated to the Patent and Trademark Office within the 20 or 30 month period respectively, the international application becomes abandoned as to the United States 20 or 30 months from the priority date respectively. These periods have been placed in the rules as paragraph (h) of § 1.494 and paragraph (i) of § 1.495. A continuing application under 35 U.S.C. 365(c) and 120 may be filed anytime during the pendency of the international application. "

18. Relate Back - 35 U.S.C. 119 Priority Claim for Prior Application

The prior U.S. application(s), including any prior International Application designating the U.S., identified above in item 17, in turn itself claim(s) foreign priority (ies) as follows:

	country	appl no.	filed on
Th	e certified copy (ies) has (have)	
	been filed on	in prior application 0 /	which was filed
	on	_	
	is (are) attached		
WARNIN	International Bureau may not be application in the continuing approximation communicated by the Internation unless the national stage is enternational stage is enternational stage in the substitution. An alternative would transfer them to the continuing folders, make suitable record no copies in the Continuing Application.	application which may have been come relied on without any need to file lication. This is so because the certifical Bureau is placed in a folder and is not need. Such folders are disposed of if the may not be available if needed later in the document of the priority application. The resources required tations, transfer the certified copies, eation are substantial Accordingly, the ave not entered the national stage may	a certified copy of the priority ed copy of the priority application ot assigned a U.S. serial number he national stage is not entered. In the prosecution of a continuing documents from the folders and to request transfer, retrieve the enter and make a record of such priority documents in folders of
19. Mair	ntenance of Copendency of P	rior Application	
		e petition filed in the prior application e iling of the continuation application. N	
А. 🗆	Extension of time in prior appl	ication	
(This		e papers filed in the prior applorior applorior application has run)	ication if the period set in
	A petition, fee and response	extends the term in the pend	ling prior application until
	☐ A copy of the petition filed	d in prior application is attached	
в. 🏻	Conditional Petition for Extens	sion of Time in Prior Application	ſ
	(complete this it	em if previous item not applicat	ole)
	A conditional petition for e application.	xtension of time is being fil	ed in the pending prior
	☐ A copy of the conditional	petition filed in the prior applica	tion is attached
20. Furt	her Inventorship Statement V	Where Benefit of Prior Applica	tion(s) Claimed
		t, or divisional application is filed by les accompany the application when filed	

the prior application, continuation, or divisional application is filed by less than all the inventors named in the prior application a statement must accompany the application when filed requesting deletion of the names of the person or persons who are not inventors of the invention being claimed in the continuation, continuation-in-part, or divisional application." 37 CFR 1.62(a) [emphasis added]. (dealing with the file wrapper continuation situation).

NOTE: "In the case of a continuation-in-part application which adds and claims additional disclosure by amendment, an oath or declaration as required by § 1.63 must be filed. In those situations where a new oath or declaration is required due to additional subject matter being claimed, additional inventors may be named in the continuing application. In a continuation or divisional application which discloses and claims only subject matter

disclosed in a prior application, no additional oath or declaration is required and the application must name as inventors the same or less than all the inventors in the prior application.™ 37 CFR 1.60(c). (dealing with the continuation situation).

(complete applicable item (a), (b) and/or (c) below)

(a) 🗔	application whose particulars are set out above and the inventor(s) in this application are					
	☐ the same					
	less than those named in the prior application and it is requested that the following inventor(s) identified for the prior application be deleted:					
	(Type name(s) of inventor(s) to be deleted)					
(b) 🗔	This application discloses and claims additional disclosure by amendment and a new declaration or oath is being filed. With respect to the prior application the inventor(s) in this application are					
	☐ the same					
	the following additional inventor(s) have been added					
	(Type name(s) of inventor(s) to be added)					
(c) ∑	The inventorship for all the claims in this application are					
区	the same					
口	not the same, and an explanation, including the ownership of the various claims at the time the last claimed invention was made $\frac{1}{2}$					
	is submitted					
	□ will be submitted					
21. Aba	ndonment of Prior Application (if applicable)					
	Please abandon the prior application at a time while the prior application is pending or when the petition for extension of time or to revive in that application is granted and when this application is granted a filing date so as to make this application copending with said prior application.					
NOTE:	According to the Notice of May 13, 1983 (103, TMOG 6-7) the filing of a continuation or continuation-in-part application is a proper response with respect to a petition for extension of time or a petition to revive and should include the express abandonment of the prior application conditioned upon the granting of the petition and the granting of a filing date to the continuing application.					
22. Peti	ion for Suspension of Prosecution for the Time Necessary to File an Amendment					
WARNII	IG: "The claims of a new application may be finally rejected in the first Office action in those situations where (1) the new application is a continuing application of, or a substitute for, an earlier application, and (2) all					

NOTE: Where it is possible that the claims on file will give rise to a first action final for this continuation application and for some reason an amendment cannot be filed promptly (e.g., experimental data is being gathered) it may be desirable to file a petition for suspension of prosecution for the time necessary.

ff they had been entered in the earlier application." MPEP, § 706.07(b).

the claims of the new application (a) are drawn to the same invention claimed in the earlier application, and (b) would have been properly finally rejected on the grounds of art of record in the next Office action

(check the next item, if applicable)

☐ There is provided herewith a Petition To Suspend Prosecution for the Time Necessary to File An Amendment (New Application Filed Concurrently)

23. NOTIFICATION IN PARENT APPLICATION OF THIS FILING

☐ A notification of the filing of this (check one of the following)

☐ continuation
☐ continuation
☐ divisional

is being filed in the parent application from which this application claims priority under 35 USC §

120.